

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		09802163
	Filing Date		2001-03-08
	First Named Inventor	Keith	
	Art Unit	3692	
	Examiner Name	C.B. Graham	
	Attorney Docket Number	125525	

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	1	5864827	A	1999-01-26	Wilson	
	2	6012043	A	2000-01-04	Albright	
	3	6021397	A	2000-02-01	Jones	
	4	6377940	B2	2002-04-23	Tilfors	
	5	6493681	B1	2002-12-10	Tertitski	
	6	6594643	B1	2003-07-15	Freeny, Jr.	
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Application Number	09802163	09802163 - GAU: 3696
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First Named Inventor	Keith	
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	1	20010042785	A1	2001-11-22	Walker	
	2	20020107781	A1	2002-08-08	Neyman	
	3	20040117302	A1	2004-06-17	Weichert	
	4	20060195386	A1	2006-08-31	Glodjo	

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FOREIGN PATENT DOCUMENTS

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	1	LOWENSTEIN, R., "Why Stock Options Can Be Dynamite for a Portfolio," Wall Street Journal (Europe), November 7, 1997, p. 13.	<input type="checkbox"/>

Application Number	09802163	09802163 - GAU: 3696
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2	McGUIRE, C., "FIXML Set for Launch," Wall Street & Technology 17(3):50, March 1999.	<input type="checkbox"/>
3	TSU, M.E., "Tutorial on Using Options in Active Strategies," Derivatives Quarterly 6(1):39-48, Fall 1999.	<input type="checkbox"/>
4	TWITCHELL, E.E., "Barron's Online: Extreme Markets," Barron's 80(15):36, April 20, 2000.	<input type="checkbox"/>

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Examiner Signature	/Clement Graham/	Date Considered	12/07/2008
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Receipt date: 10/29/2007

Application Number 09802163

09802163 - GAU: 3696

Filing Date 2001-03-08

First Named Inventor Keith

Art Unit 3692

Examiner Name C.B. Graham

Attorney Docket Number 125525

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

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☐ See attached certification statement.

☐ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ None

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.16. Please see CFR 1.4(d) for the form of the signature.

Signature /Kevan L. Morgan/

Date (YYYY-MM-DD) 2007-10-29

Name/Print Kevan L. Morgan

Registration Number 42,015

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